

## Exhibit 300: Capital Asset Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview & Summary Information

**Date Investment First Submitted:** 2010-09-09  
**Date of Last Change to Activities:** 2012-08-16  
**Investment Auto Submission Date:** 2012-02-28  
**Date of Last Investment Detail Update:** 2012-02-24  
**Date of Last Exhibit 300A Update:** 2012-06-29  
**Date of Last Revision:** 2012-08-16

**Agency:** 006 - Department of Commerce      **Bureau:** 51 - US Patent and Trademark Office

**Investment Part Code:** 01

**Investment Category:** 00 - Agency Investments

**1. Name of this Investment:** USPTO Trademark Next Generation (TM NG)

**2. Unique Investment Identifier (UII):** 006-000803400

#### Section B: Investment Detail

- 1. Provide a brief summary of the investment, including a brief description of the related benefit to the mission delivery and management support areas, and the primary beneficiary(ies) of the investment. Include an explanation of any dependencies between this investment and other investments.**

Trademark business processes and supporting systems continue to develop improvements to better meet customer and USPTO needs. Processes and systems are more comprehensive and interconnected than ever before, providing the public with data and services that continue to grow increasingly more reliable and efficient. Capable as these systems are the complete vision for the Agency has not yet been fully realized. As our customer and Agency needs for more functional/technical services evolve, our Trademark IT infrastructure must also evolve in order to provide a platform capable of meeting the current and future needs of the Agency and its customers. Trademarks is creating a fully electronic, separate, sustainable, end-to-end system in which technology and user services will be developed, managed, and adapted in an efficient and cost effective manner. The resulting next generation IT systems, platform and functionality will enable optimal use of Trademark data by the public and employees to meet their continually evolving needs. Implementation of Trademark Next Generation (TM NG) architecture, technology platform, systems and functionality will be managed separately from other USPTO business units and take advantage of new technology that will reduce information technology development, enhancement and maintenance costs while providing a more manageable, agile and adaptable technology platform. The TM NG program is based on (1) improvement of Functional/Technical Services to users of the Trademark systems and, (2) standup of a next

generation IT Platform. Both the NG systems Functionality and Platform will be managed under one program management structure. The TM NG Platform will separate Trademark systems from other business unit systems, maximize the use of virtualization and making necessary improvements to the Trademark IT Infrastructure using other innovative technologies resulting in, among other benefits, systems capable of operating in a Cloud Computing environment. The first year of the TM NG program will focus on planning and prototyping solutions, architecture, tools, enhancing existing applications with new functionality, designs, products, etc. Execution of the plans and implementation of the TM NG Functional/Technical Services and Platform will be primarily conducted in years two plus of the TM NG program. Agile development methods and System Development Life-Cycle (SDLC) processes will be used under this program.

**2. How does this investment close in part or in whole any identified performance gap in support of the mission delivery and management support areas? Include an assessment of the program impact if this investment isn't fully funded.**

The Office of Trademarks is working with the Office of the Chief Information Officer (OCIO) to develop plans that will allow the creation of a fully electronic, separate, and sustainable, end-to-end system in which technology and user services will be developed, managed, and adapted in an efficient and cost effective manner. The TM NG portfolio/program structure has two distinct tracks: TM NG IT Platform and TM NG Functional/Technical Services. All proposed TM NG projects will fall under one of those two tracks. Plans have been developed for the IT Platform track that divides the work to be accomplished into major funding areas: Separation & Virtualization; Cloud Computing; Infrastructure Improvements. Funding programs have also been established for TM NG Functional/Technical Services (Use Agile to Develop TM NG Systems/Applications) and Plan and Manage Portfolio. The TM NG IT Platform will consist of: - Separation includes physically moving all of the TM systems from servers and storage shared with other non TM systems to TM-only servers and storage. Reduce dependency between TM system and corporate systems. - Virtualization includes moving the TM systems from separate physical servers to TM-only virtualized servers and TM-only storage to the maximum extent practicable (i.e. TRAM will be separated but not as part of virtualization). - Cloud Computing includes the development of a TM NG cloud strategy and FY 11 work that will pilot portions of TM systems in alternative cloud deployment models (e.g. public commercial, community federal). - Infrastructure Improvements (business tools) includes the development and/or prototyping and installation of a TM NG: Enterprise Service Bus, Business Rules Engine, Content Management System, Case Management, Workflow solution, Electronic Records Management System, and Service Oriented Architecture solution. The resulting next generation IT systems, platform, and functionality will enable optimal use of Trademarks data by both internal and external stakeholders to meet their continually evolving needs. Implementation of TM NG architecture, technology platform, systems, and functionality will be managed separately from other USPTO business units to the maximum extent practical. This will allow Trademarks to take advantage of new technology which will reduce the IT development, enhancement, and maintenance costs while providing a more manageable, agile, and adaptable technology platform.

**3. Provide a list of this investment's accomplishments in the prior year (PY), including projects or useful components/project segments completed, new functionality added, or operational efficiency achieved.**

Received CIDP Approval on 5/27/2011; Hired a senior level Portfolio Manager; Acquired consulting services with industry leader on Business Architecture Formed a Business Architecture team in Trademarks.

**4. Provide a list of planned accomplishments for current year (CY) and budget year (BY).**

Deploy TSDR 1.0; Establish Virtual Production Environment; Separate and Virtualize Eight TM Systems; Scale Virtual Environment to Accommodate the Remaining TM Systems; Separated and Virtualized All Remaining TM Systems; Complete Case Management Tools Market Analysis; Complete Content Management Tools Review; Complete Trademark NG Infrastructure Improvement plan.

**5. Provide the date of the Charter establishing the required Integrated Program Team (IPT) for this investment. An IPT must always include, but is not limited to: a qualified fully-dedicated IT program manager, a contract specialist, an information technology specialist, a security specialist and a business process owner before OMB will approve this program investment budget. IT Program Manager, Business Process Owner and Contract Specialist must be Government Employees.**

2011-05-27

## Section C: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.C.1 Summary of Funding

	PY-1 & Prior	PY 2011	CY 2012	BY 2013
Planning Costs:	\$0.3	\$4.2	\$2.0	\$2.8
DME (Excluding Planning) Costs:	\$0.0	\$0.0	\$12.4	\$11.7
DME (Including Planning) Govt. FTEs:	\$0.0	\$1.7	\$1.7	\$2.1
Sub-Total DME (Including Govt. FTE):	\$0.3	\$5.9	\$16.1	\$16.6
O & M Costs:	\$0.0	\$0.0	\$0.0	\$0.0
O & M Govt. FTEs:	\$0.0	\$0.0	\$0.0	\$0.0
Sub-Total O & M Costs (Including Govt. FTE):	0	0	0	0
Total Cost (Including Govt. FTE):	\$0.3	\$5.9	\$16.1	\$16.6
Total Govt. FTE costs:	0	\$1.7	\$1.7	\$2.1
# of FTE rep by costs:	0	11	0	0
Total change from prior year final President's Budget (\$)		\$0.0	\$7.8	
Total change from prior year final President's Budget (%)		0.00%	95.70%	

**2. If the funding levels have changed from the FY 2012 President's Budget request for PY or CY, briefly explain those changes:**

This is a new investment brought on by refocused priorities from the new management structure.

## Section D: Acquisition/Contract Strategy (All Capital Assets)

Table I.D.1 Contracts and Acquisition Strategy

Contract Type	EVM Required	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	IDV Agency ID	Solicitation ID	Ultimate Contract Value (\$M)	Type	PBSA ?	Effective Date	Actual or Expected End Date
Awarded	1344	DOC44PAPT1000012	DOC44PAPT1000012	1344							
Awarded	1344	DOC44PAPT1009008	DOC44PAPT1009008	1344							
Awarded	1344	DOC50PAPT0501004	DOC50PAPT0501004	1344							
Awarded	1344	DOC50PAPT0501005	DOC50PAPT0501005	1344							
Awarded	1344	DOC50PAPT0801001	DOC50PAPT0801001	1344							
Awarded	1344	DOC50PAPT0801008	DOC50PAPT0801008	1344							
Awarded	1344	DOC50PAPT0801026	DOC50PAPT0801026	1344							
Awarded	1344	DOC50PAPT0801027	DOC50PAPT0801027	1344							
Awarded	1344	DOC50PAPT0801028	DOC50PAPT0801028	1344							
Awarded	1344	DOC50PAPT0901016	DOC50PAPT0901016	1344							

**2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:**

Earned value Management reporting is required and implemented in all contracts where the contractors are engaged in development, modernization, and enhancement (DME) type work over \$1M and longer than 90 days in duration. Contracts with EVM reporting include the System Development and Integration (SDI) contract.

## Exhibit 300B: Performance Measurement Report

### Section A: General Information

**Date of Last Change to Activities:** 2012-08-16

### Section B: Project Execution Data

**Table II.B.1 Projects**

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
8034X11005	Authentication Authorization and SSO Prototype	The objective of this effort is to obtain independent third party expertise to perform a detailed Authentication, Authorization & Single Sign On assessment of the current USPTO IT systems and develop a proposed Authentication, Authorization & Single Sign.			
8034X11058	FY11 TM NG Separation and Virtualization	The scope of this project is to separate Trademark AIS to a TM dedicated server and virtualize where possible.			
8034X11131	TMNG Infrastructure	The proposed new business tools infrastructure project will be conducting prototypes to review the capabilities to include all components necessary to support Trademark processing requirements.			
8034X11137	TSDR 1.0	Modify TRD to display Trademark biographic data to the public.			
8034X12136	TRM Prototype	The scope of this project is to define and prototype a viable			

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
		migration path from TRAM to a new database of record that uses independent components and internally developed business logic.			
8034X12197	FY12 TMNG Separation Virtualization	Project will continue moving Trademark systems to a standalone virtual environment.			
8034X12233	Web and Business Services 2 - Phase 1	To develop the web and business services needed to fully automate The Trademark Buisness processes. These are defined in the 17 Value Streams, and have been prioritized in the Trademarks Priority List.			
8034X11130	TQRS 1 0	The objective of the TQRS is to provide a application with of a web interface and retrieve cases from TRAM for Post Reg to support Trademark Quality Review process.			
8034X12247	User Interface (UI) - Phase 1	To develop the TM NG User Interface based on the prototype selected.			
8034X12255	Authentication Authorization and SSO	Using the recommendations from the FY11 AASSO project, this project will procure, deploy and configure the tools necessary to manage the Authentication, Authorization and Single-sign on of the TM NG.			
8034X12259	Web and Business Services 1 - Phase 1	To develop the web and business services needed to fully automate The Trademark Buisness processes. These are defined in the 17 Value Streams, and have been prioritized in the Trademarks Priority List.			
8034X12268	TM Reporting and DataMart	The TM Reporting and DataMart project will provide the access			



Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
		layer for Trademark Next Generation and legacy system data stores. It will add flexibility in reporting and data access by different trademark business units, and will ultimately result in lower costs for the creation of custom reports and data views going forward by getting report creation tools into the hands of USPTO business users.			
8034X12275	UCD Prototype	Develop unified interface prototype that is integrated and intuitive for both internal and external Trademark Users as well as provide flexibility to current workflow to meet stakeholder expectations.			
8034X12276	Trademark Records Management (TRM) - Phase 1	Development of the TRM system using defined business tools.			
8034X12277	TSDR FY12	Enhancements will be made to TSDR 1.0 to display all USPTO data/documents related to a single trademark property in one consolidated view.			

Activity Summary

Roll-up of Information Provided in Lowest Level Child Activities

Project ID	Name	Total Cost of Project Activities (\$M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance (\$M )	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities
8034X11005	Authentication Authorization and SSO Prototype							
8034X11058	FY11 TM NG Separation and Virtualization							
8034X11131	TMNG Infrastructure							

## Activity Summary

Roll-up of Information Provided in Lowest Level Child Activities

Project ID	Name	Total Cost of Project Activities (\$M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance (\$M )	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities
8034X11137	TSDR 1.0							
8034X12136	TRM Prototype							
8034X12197	FY12 TMNG Separation Virtualization							
8034X12233	Web and Business Services 2 - Phase 1							
8034X11130	TQRS 1 0							
8034X12247	User Interface (UI) - Phase 1							
8034X12255	Authentication Authorization and SSO							
8034X12259	Web and Business Services 1 - Phase 1							
8034X12268	TM Reporting and DataMart							
8034X12275	UCD Prototype							
8034X12276	Trademark Records Management (TRM) - Phase 1							
8034X12277	TSDR FY12							

## Key Deliverables

Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
8034X11005	Design	Design Solution(s)	2011-11-10	2011-11-10		38	-295	-776.32%
8034X11005	Development	Develop Solution(s)	2011-11-25	2011-11-25		11	-280	-2,545.45%
8034X12275	UCD Prototype Release 1	Develop Solution(s)	2012-05-14	2012-06-20		76	-109	-143.42%
8034X12136	Design / Development	Design Solution(s)	2012-06-11	2012-06-11		248	-81	-32.66%

Key Deliverables								
Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
8034X12233	Initiation, Planning and Requirements		2012-07-05	2012-07-05		36	-57	-158.33%
8034X12259	Release 1	Develop Solution(s)	2012-11-15	2012-11-20		120	-5	-4.17%
8034X12233	Design and Development		2012-11-22	2012-11-23		168	-1	-0.60%
8034X12233	Project Management Activities	Manage Project	2012-11-23	2012-11-23		235	0	0.00%
8034X12277	Release 1 and 2	Release	2013-02-28	2013-03-29		344	-29	-8.43%
8034X12197	Design/Development/Testing/Implementation	Design Solution(s)	2013-04-19	2013-04-19		311	0	0.00%
8034X12268	Release 1 and 2	Develop Solution(s)	2013-12-31	2013-12-31		543	0	0.00%

Section C: Operational Data

Table II.C.1 Performance Metrics								
Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	Measurement Condition	Baseline	Target for PY	Actual for PY	Target for CY	Reporting Frequency

NONE